



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

May 13, 2018

CHARLES LYONS, TREASURER  
BOB CASEY FOR SENATE INC  
PO BOX 58746  
PHILADELPHIA, PA 19102

**Response Due Date**  
**06/18/2018**

IDENTIFICATION NUMBER: C00431056

REFERENCE: YEAR-END REPORT (10/01/2017 - 12/31/2017)

Dear Treasurer:

This letter is prompted by the Commission's preliminary review of the report referenced above. This notice requests information essential to full public disclosure of your federal election campaign finances. **An adequate response must be received at the Senate Public Records Office by the response date noted above. Failure to adequately respond by the response date noted above could result in an audit or enforcement action.** Additional information is needed for the following 5 item(s):

1. Schedule A of your report discloses one or more contributions that appear to exceed the limits set forth in the Act (see attached). The Commission notes your additional explanation regarding the committee's corrective action taken for some of these contributions.

An individual or a political committee other than an authorized committee or a qualified multi-candidate committee may not make a contribution(s) to a candidate for federal office in excess of \$2,700 per election. An authorized committee may not make a contribution(s) to a candidate for federal office in excess of \$2,000 per election. A qualified multi-candidate committee and all affiliated committees may not make a contribution(s) to a candidate for federal office in excess of \$5,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (52 U.S.C. § 30116(a) and (f) (formerly 2 U.S.C. § 441a(a) and (f)); 11 CFR §§ 110.1(b), (e) and (k), and 102.13(c))

If any apparently excessive contribution in question was incompletely or incorrectly disclosed, you must amend your original report with clarifying information.

Please be reminded that all refunds, redesignations and reattributions must be

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made within 60 days of receipt of the contribution. To date, one or more of the apparent excessive contributions have not been refunded, redesignated, or reattributed.

For reattributions, the funds can be retained if, within 60 days of receipt, the excessive amount was properly reattributed to another person. An excessive contribution is considered properly reattributed if (1) the contributors provide the committee with written documentation, signed by each contributor, authorizing a reattribution and indicating the amount of the contribution to be attributed to each contributor; or (2) the committee reattributes by presumption the excessive portion of the contribution if the contribution was made on a written instrument from a joint account and was signed by only one of the account holders. In this case, the treasurer must notify the contributors in writing within 60 days of receiving the contribution that the committee intends to reattribute the excessive portion and must give the contributor who signed the check an opportunity to request a refund. (11 CFR § 110.1(k)(3)(ii)(B))

For redesignations, the funds can be retained if, within 60 days of receipt, the excessive amount was properly designated for a different election. An excessive contribution is considered properly redesignated if (1) the committee obtains signed written documentation from the contributor(s) authorizing the redesignation of the contribution for another election, provided that the new designation does not exceed the limitations on contributions made with respect to that election; or (2) the committee redesignates by presumption the excessive portion of the contribution for another election, provided that the new designation does not exceed the limitations on contributions made with respect to that election. In this case, the treasurer must notify the contributor of the redesignation in writing within 60 days of the treasurer's receipt of the contribution. The notification must give the contributor an opportunity to request a refund. (11 CFR § 110.1(b)(5)(ii)(B)) A contribution can only be redesignated to a previous election to the extent that the contribution does not exceed the committee's net debts outstanding for that election. (11 CFR § 110.1(b)(3)(i))

If the foregoing conditions for reattributions or redesignations are not met within 60 days of receipt, the excessive amount must be refunded. (11 CFR § 103.3(b)(1))

If you have not already done so, please inform the Commission of your corrective action immediately in writing and provide photocopies of any refund checks and/ or letters reattributing or redesignating the contributions in question. Refunds are reported on Line 20(a), (b), or (c), as applicable, of the Detailed

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Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR § 104.8(d)(2), (3) and (4))

Although the Commission may take further legal action concerning the acceptance of excessive contributions, your prompt action to refund or redesignate and/or reattribute the excessive amount will be taken into consideration.

**2.** Your report fails to provide proper election designations for contributions (see attached) disclosed on Schedule A supporting Line(s) 11(a)(i). Authorized committees should indicate the election for which the contribution was designated. If no election is designated, the contribution is applied to the next election for the federal office the candidate is seeking after the contribution date. Please be advised that incorrect election designations may result in excessive or impermissible contributions. Please amend your report to clarify election designation: Primary 2017 (11 CFR §§ 110.1(b) and 110.2(b))

**3.** Schedule A of your report discloses one or more contributions that appear to be from a corporation(s) and/or labor organization(s) (see attached). 52 U.S.C. § 30118(a) (formerly 2 U.S.C. § 441b(a)) and 11 CFR § 103.3(b) prohibit the receipt of contributions from corporations and labor organizations unless made from separate segregated funds established by the corporations and labor organizations.

If any apparently prohibited contribution in question was incompletely or incorrectly disclosed, you must amend your original report with clarifying information.

If you have received prohibited contributions, you must make a refund within 30 days of the treasurer becoming aware of the illegality of the contribution. (11 CFR § 103.3(b)(1) and (2))

If you have not already done so, please inform the Commission of your corrective action immediately in writing and provide a photocopy of any refund checks. Refunds must be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund is made. (11 CFR § 104.8(d)(4))

Although the Commission may take further legal action concerning the acceptance of prohibited contributions, your prompt action to refund the

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prohibited amount will be taken into consideration.

4. Schedule A of your report discloses one or more contributions that appear to be from a limited liability corporation(s) (LLC) (see attached). 11 C.F.R. §110.1(g) allows the receipt of contributions from LLCs providing the LLC is treated as a partnership for tax purposes, and has not elected to be treated as a corporation by the Internal Revenue Service (IRS). Both LLCs that claim corporate status and those that publicly traded would be treated as corporations for FECA purposes.

Please amend your report to clarify if the LLCs in question are treated as partnerships. If any apparently prohibited contribution in question was incompletely or incorrectly disclosed, you must amend your original report with clarifying information.

If you have received prohibited contributions, you must make a refund. (11 CFR § 103.3(b)(1)) The refund must be made within 30 days of the treasurer becoming aware of the illegality of the contribution. (11 CFR § 103.3(b)(2))

If you have not already done so, please inform the Commission of your corrective action immediately in writing and provide a photocopy of any refund checks. Refunds must be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund was made. (11 CFR § 104.8(d)(4))

Although the Commission may take further legal action concerning the acceptance of prohibited contributions, your prompt action to refund the prohibited amount will be taken into consideration.

5. Schedule A supporting Line 12 of the Detailed Summary Page(s) of your combined 2017 reports discloses transfer(s) that exceed the sum of memo Schedule A entries (see attached). Please note that the sum of memo Schedule A supporting a transfer(s) from a joint fundraising committee should be greater than or equal to the amount of the transfer(s).

Each participating committee shall report its share for **net** proceeds received from the joint fundraising committee as a transfer-in on Schedule A. A memo Schedule A must be provided to itemize your committee's share of the **gross** contributions received through the joint fundraiser. The memo schedule should itemize each individual who has contributed an aggregate in excess of \$200 during the election cycle and provide the amount of unitemized contributions received. In addition, the memo schedule should itemize your committee's share of all contributions from political committees, regardless of amount. (11 CFR §

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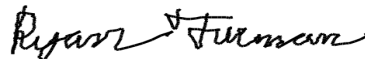
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102.17(c)(8)(i)(B)) Please amend your report to include the missing Schedule A or provide an explanation for this apparent discrepancy.

**Please note, you will not receive an additional notice from the Commission on this matter.** Adequate responses must be received by the Commission on or before the due date noted above to be taken into consideration in determining whether audit action will be initiated. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action. **Requests for extensions of time in which to respond will not be considered.**

A written response or an amendment to your original report(s) correcting the above problems should be filed with the Senate Public Records Office. Please contact the Senate Public Records Office at (202) 224-0322 for instructions on how and where to file an amendment. For additional information about the report review process or specific filing information for your committee type, please visit <http://transition.fec.gov/rad/>. If you should have any questions regarding this matter or wish to verify the adequacy of your response, please contact me on our toll-free number (800) 424-9530 (at the prompt press 5 to reach the Reports Analysis Division) or my local number (202) 694-1151.

Sincerely,

A handwritten signature in black ink that reads "Ryan Furman". The signature is written in a cursive, flowing style.

Ryan Furman  
Sr. Campaign Finance & Reviewing Analyst  
Reports Analysis Division

**Excessive, Prohibited, and Impermissible Contributions**  
**Bob Casey for Senate Inc (C00431056)**

**Excessive Contributions from Individuals**

<b>Contributor Name</b>	<b>Date</b>	<b>Amount</b>	<b>Election</b>
Bagley, Nancy	5/9/17	\$1,000.00	P2018
Bagley, Nancy	9/18/17	\$1,000.00	P2018
Bagley, Nancy	11/29/17	\$1,000.00	P2018
Berkman, Richard L	11/11/17	\$2,000.00	P2018
Berkman, Richard Lyle Esq	11/13/17	\$2,000.00	P2018
Bernstein, Leonard A Esq	6/22/16	\$500.00	P2018
Bernstein, Leonard A	2/13/17	\$250.00	P2018
Bernstein, Len	10/10/17	\$2,500.00	P2018
Bigley, Jonathan P	12/13/16	\$2,300.00	G2018
Bigley, Jonathan P	12/20/17	\$2,300.00	G2018
Bigley, Jonathan P	12/16/15	\$2,500.00	P2018
Bigley, Jonathan P	12/13/16	\$200.00	P2018
Bigley, Jonathan P	12/20/17	\$400.00	P2018
Bigley, Jonathan P	12/29/17	\$2,700.00	P2018
Bigley, Jonathan P	1/16/18	-\$2,700.00	P2018
Blood, Nancy	3/1/17	\$2,000.00	P2018
Blood, Nancy	3/24/17	\$250.00	P2018
Blood, Nancy	10/29/17	\$500.00	P2018
Cindrich, Bonnie J	3/27/14	\$2,500.00	P2018
Cindrich, Bonnie J	12/17/17	\$1,500.00	P2018
Cioffi, Michael L	10/13/17	\$2,700.00	P2018
Cioffi, Michael L	12/31/17	\$2,400.00	P2018
Conti, Robert	10/15/15	\$1,500.00	P2018
Cont, Robert	12/21/17	\$1,750.00	P2018
Crane, Christopher M	2/25/16	\$1,000.00	P2018
Crane, Chris	10/26/17	\$2,700.00	P2018
Elliott, John P	10/24/14	\$1,000.00	P2018
Elliott, John P	3/9/17	\$1,700.00	P2018

**Excessive, Prohibited, and Impermissible Contributions**  
**Bob Casey for Senate Inc (C00431056)**

Elliott, John P	12/4/17	\$1,500.00	P2018
Fairbanks, Matthew	9/11/15	\$2,000.00	P2018
Fairbanks, Matthew	5/9/17	\$1,000.00	P2018
Fairbanks, Matthew	10/16/17	\$1,000.00	P2018
Feldstein, Andrew	12/24/17	\$2,700.00	P2018
Feldstein, Andrew	12/31/17	\$2,700.00	P2018
Forbes, Jeffrey A	3/29/17	\$1,000.00	P2018
Forbes, Jeffrey A	6/27/17	\$1,000.00	P2018
Forbes, Jeffrey	12/27/17	\$1,000.00	P2018
Frank, Marilyn	5/23/17	\$500.00	G2018
Frank, Marilyn	10/1/17	\$2,700.00	G2018
Frank, Marilyn	1/8/18	-\$500.00	G2018*
*refund was issued outside the permissible timeframe			
Freston, Tom	9/29/16	\$2,700.00	P2018
Freston, Tom	11/24/17	\$2,700.00	P2018
Herzog, Douglas A	9/15/16	\$2,700.00	P2018
Herzog, Doug	9/14/17	\$1,000.00	P2018
Herzog, Doug	11/26/17	\$1,000.00	P2018
Irwin, Steven D	5/29/13	\$1,949.28	P2018
Irwin, Steven D	9/30/14	\$500.00	P2018
Irwin, Steven D	3/31/17	\$250.72	P2018
Irwin, Steven D	12/24/17	\$180.00	P2018
Kania, Angela	12/28/17	\$2,300.00	P2018
Kania, Angela	12/28/17	\$2,700.00	P2018
Kenyon, Thomas	6/3/15	\$500.00	P2018
Kenyon, Thomas	10/18/17	\$2,500.00	P2018
Land, Mark	11/7/16	\$2,000.00	P2018
Land, Mark	6/28/17	\$500.00	P2018
Land, Mark	12/20/17	\$200.00	P2018
Land, Mark	12/20/17	\$800.00	P2018

**Excessive, Prohibited, and Impermissible Contributions**  
**Bob Casey for Senate Inc (C00431056)**

Lilly, Brian	12/28/17	\$4,800.00	G2018
Markus, William E	6/26/14	\$1,000.00	P2018
Markus, William E	9/7/16	\$1,700.00	P2018
Markus, William E	12/28/17	\$500.00	P2018
Nardelli, Pascal M	9/7/16	\$1,000.00	P2018
Nardelli, Pascal M	12/27/17	\$1,000.00	P2018
Nardelli, Pascal M	12/27/17	\$1,700.00	P2018
Opperman, Darrin	12/31/17	\$2,700.00	P2018
Opperman, Darrin	12/31/17	\$2,700.00	P2018
Perry, Robert	12/18/17	\$500.00	P2018
Perry, Robert	12/21/17	\$2,500.00	P2018
Raffaelli, John	5/22/14	\$2,600.00	P2018
Raffaelli, John D	12/31/15	\$100.00	P2018
Raffaelli, John D	12/29/17	\$1,000.00	P2018
Raichle, Marcus	5/8/17	\$2,700.00	P2018
Raichle, Marcus E Jr	10/12/17	\$2,700.00	P2018
Ritchie, Christopher W	7/14/17	\$2,700.00	P2018
Ritchie, Christopher W	12/21/17	\$2,700.00	P2018
Sheerr, Betsy R	4/26/17	\$2,500.00	P2018
Sheerr, Betsy R	12/15/17	\$100.00	P2018
Sheerr, Betsy R	12/20/17	\$200.00	P2018
Sitarchuk, Eric W	9/30/15	\$1,000.00	P2018
Sitarchuk, Eric W	6/7/17	\$1,700.00	P2018
Sitarchuk, Eric W	12/31/17	\$1,700.00	P2018
Spencer, James	9/24/15	\$2,700.00	P2018
Spencer, James	12/24/17	\$1,700.00	P2018
Thompson, Thomas M	2/24/17	\$1,000.00	P2018
Thompson, Thomas M	5/31/17	\$250.00	P2018
Thompson, Thomas M	6/7/17	\$250.00	P2018
Thompson, Thomas M	12/27/17	\$1,080.00	P2018



**Excessive, Prohibited, and Impermissible Contributions****Bob Casey for Senate Inc (C00431056)**

Thompson, Thomas M	12/27/17	\$2,700.00	P2018
Weiss, Ira	6/13/17	\$2,700.00	P2018
Weiss, Ira	12/21/17	\$500.00	P2018
Willig, Williams & Davidson	11/28/17	\$3,000.00	P2018

**Excessive Contributions from Committees**

Contributor Name	Date	Amount	Election
Rothman Institute PAC	12/28/17	\$7,500.00	G2018
Toll Bros.Inc. PAC	8/5/16	\$5,000.00	P2018
Toll Bros Inc. PAC	12/20/17	\$5,000.00	P2018

**Excessive Contributions from Committees not Qualified for Multi-Candidate Status**

Contributor Name	Date	Amount	Election
Lancaster General Health Political Action Committee	5/12/16	\$1,000.00	P2018
Lancaster General Health Political Action Committee	11/9/17	\$2,500.00	P2018
Prospect Medical Holdings, Inc. Political Action Committee (ProspectPAC)	7/24/17	\$1,000.00	P2018
Prospect Medical Holdings Inc Political Action Committee (ProspectPAC)	10/24/17	\$2,000.00	P2018

**Excessive Contributions from Affiliated Committees**

Contributor Name	Date	Amount	Election
Brotherhood Of Locomotive Engineers & Trainmen PAC Fund	12/8/17	\$200.00	P2018
Brotherhood Of Locomotive Engineers & Trainmen PAC Fund	12/8/17	\$2,500.00	P2018
Drive Committee	12/15/17	\$2,500.00	P2018

**Contributions from Possible Prohibited Entities**

Contributor Name	Date	Amount	Election
Janney Montgomery Scott LLC	12/29/17	\$2,500.00	P2018
Law Offices of R. Emmett Madden	12/7/17	\$500.00	P2018
Lundy Law	12/29/17	\$1,000.00	P2018
Stratton and Associates	12/29/17	\$500.00	P2018
Willig, Williams & Davidson	11/28/17	\$3,000.00	P2018

**Excessive, Prohibited, and Impermissible Contributions**  
**Bob Casey for Senate Inc (C00431056)**

**Incorrect Election Designations**

<b>Contributor Name</b>	<b>Date</b>	<b>Amount</b>	<b>Election</b>
Bryant, Gwendolen Wendell	11/28/17	\$5.00	P2017
Bryant, Gwendolen Wendell	12/3/17	\$10.00	P2017
Davola, Joe	11/27/17	\$500.00	P2017
Mawhinney, Janet	11/30/17	\$100.00	P2017
Schroeher, Kathy	11/30/17	\$100.00	P2017
Sheerr, Betsy R	12/1/17	\$100.00	P2017
Stevenson, Elizabeth	11/30/17	\$25.00	P2017
Stevenson, Elizabeth	12/3/17	\$25.00	P2017
White, Brenda	11/27/17	\$35.00	P2017
White, Brenda	11/30/17	\$70.00	P2017
Winter, Natalie J	12/2/17	\$100.00	P2017

**Joint Fundraising Transfers Exceed Memo Entries**  
**Bob Casey for Senate Inc (C00431056)**

Justice 2018		
Report	Transfers	Memo Entries
2017 April Quarterly	\$0.00	\$0.00
2017 July Quarterly	\$73,036.30	\$60,200.50
2017 October Quarterly	\$0.00	\$0.00
2017 Year-End	\$0.00	\$0.00
<b>Total</b>	<b>\$73,036.30</b>	<b>\$60,200.50</b>